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Legal Department, DL429  
Intellectual Property Administration OCT 23 2003  
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PATENT APPLICATION

ATTORNEY DOCKET NO. 10003809-7

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Deng, et al.

Serial No.: 10/619,521

Examiner: Unassigned

Filing Date: 07/14/2003

Group Art Unit: 2815

Title: Reliability-enhancing Layers For Vertical Cavity Surface Emitting Lasers

COMMISSIONER FOR PATENTS  
PO Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- (X) under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ( ) under 37 CFR 1.97(c) together with either a:  
( ) Statement under 37 CFR 1.97(e), or  
( ) a \$180.00 Processing fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ( ) under 37 CFR 1.97 (d) together with a:  
( ) Statement under 37 CFR 1.97(e), and  
( ) a \$180.00 processing fee under 37 CFR 1.17(p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge to Deposit Account 50-1078 the sum of \$0.00 . At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 50-1078 pursuant to 37 CFR 1.25.

( ) Applicant(s) submit herewith Form PTO 1449. References identified with an asterisk (\*) were disclosed in Patent Application No. filed , now U. S. Patent No. , and, as such, copies thereof are not included pursuant to the provisions of 37 CFR 1.98(d).

( ) A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

Date of Deposit:

Typed Name: Katherine Lopez Diagonal

Signature: 

Respectfully submitted,

Deng, et al.

By 

Pamela Lau Kee

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Date: 17 October 2003

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## PATENT APPLICATION

Sheet 1 of 1

 <b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  <b>3 2003</b>  <b>(Use several sheets if necessary)</b>	<b>ATTY. DOCKET NO.</b>	<b>SERIAL NO.</b>
	<b>10003809-7</b>	<b>10/619,521</b>
	<b>APPLICANT</b>	
	<b>Deng, et al.</b>	
<b>FILING DATE</b>	<b>GROUP</b>	
<b>07/14/2003</b>	<b>2815</b>	

**PREFERENCE DESIGNATION**

## **U.S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	DATE	NAME	TRANSLATION	
					YES	NO
		WO 00/36719	Jun-22-2000	NAJDA, Stephen Peter		
		WO 02/37630	May-10-2002	EBELING, Karl Joachim		
		WO 00/38287	Jun-29-2000	JOHNSON, Ralph H.		

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

	Karim, A., Black, Abraham P., et al. "Super Lattice Barrier 1528-nm Vertical-Cavity Laser with 85 °C Continuous-Waver Operation." IEEE Photonics Technology Letters, Vol. 12, No. 11 Nov. 2000 pgs 1438-1440

**EXAMINER**

**DATE CONSIDERED**

\* Copies of these references are not enclosed pursuant to 37 CFR 1.98(d). (See accompanying IDS)